

10/551843

03 OCT 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : (To Be Assigned) Confirmation No. : (TBA)  
PCT/JP2004/004700  
First Named Inventor : Tadahiro OHMI  
Filed : October 3, 2005  
TC/A.U. : (To Be Assigned)  
Examiner : (To Be Assigned)  
Docket No. : 010986.56896US  
Customer No. : 23911  
Title : Semiconductor Device and Method for Manufacturing the Same

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.97 AND 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, the attached Form PTO-1449 lists documents which the Examiner may deem relevant to patentability of the claims of the above-identified application.

**I. Time Period of Submission**

This Information Disclosure Statement is submitted:

☒ 1) no later than three months from the application's filing date or 2) before the mailing date of the first Office Action on the merits (whichever is later), and therefore no statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

☐ after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, a Notice of Allowance, or an action closing prosecution (*Ex parte Quayle*), (whichever is earlier), and therefore Applicant is filing concurrently herewith:

☐ a Statement under 37 C.F.R. § 1.97(e); or

☐ a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

☐ after either a Final Office Action or a Notice of Allowance, but before payment of the Issue Fee, and therefore Applicant is submitting herewith:

a Statement under 37 C.F.R. § 1.97(e); and

a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

II. Statement Under 37 C.F.R. § 1.97(e)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or

☐ I hereby state that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making a reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

III. Submission of Non-English Language Documents

☒ The following is a concise explanation of relevance of the non-English language documents listed in the attached Form PTO-1449:

☒ The relevance of documents AF & AG to the subject matter of the present invention are provided in the specification of the above-identified application.

☒ Copy of a corresponding foreign or international report citing documents AA-AE and AH, together with an English-language version (if not already in English) of that portion of the report indicating the degree of relevance found by the foreign office.

☐ English language equivalent publications of documents are submitted herewith.

☒ English language abstracts are submitted for documents AJ-AK.

☐ English translation(s) of the foreign language document(s), is/are submitted herewith.

☐ Applicant submits the following explanations:

\_\_\_\_\_.

10/551847

Attorney Docket No. 010986.56896US

JC20 Rec'd PGI/PTO PATENT  
03 OCT 2005

IV. Continuations/Divisionals/PCT National Stage Applications

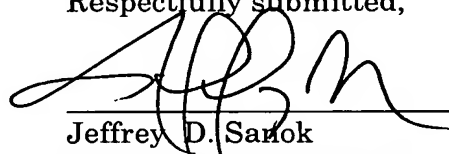
☐ Documents \_\_\_\_\_ were previously submitted in an Information Disclosure Statement filed on == in parent application Serial No. \_\_\_\_\_, from which this application claims a benefit.

☒ Copies of the references listed on the attached form PTO-1449 have already been provided by the International Searching Authority, therefore, duplicate copies are not attached hereto.

If necessary, this paper should be considered as an authorization to charge Deposit Account 05-1323, Attorney Docket No.: 010986.56896US, for the fee set forth in 37 C.F.R. § 1.17(p).

Respectfully submitted,

October 3, 2005

  
\_\_\_\_\_  
Jeffrey D. Sanok  
Registration No. 32,169

CROWELL & MORING LLP  
Intellectual Property Group  
P.O. Box 14300  
Washington, DC 20044-4300  
Telephone No.: (202) 624-2500  
Facsimile No.: (202) 628-8844  
JDS:lck

Substitute for form 1449A/PTO			<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			Application Number	(To Be Assigned) PCT/JP2004/004700
			Filing Date	Oct 12 2005
			First Named Inventor	Tadahiro OHMI
			Art Unit	(To Be Assigned)
			Examiner Name	(To Be Assigned)
Sheet 1 of 1	Attorney Docket Number	010986.56896US		

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
	AA	US- 2002/0172768	A1	11/21/2002	Kazuhiko Endo, et al.	
	AB	US- 2003/0003667	A1	01/02/2003	Yusuke Morisaki, et al.	
	AC	US- 6,277,681	B1	08/21/2001	Robert M. Wallace, et al.	
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				

FOREIGN PATENT DOCUMENTS						
Examiner Initials'	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	AD	JP 2002-343790 A	11/29/2002	Nippon Electric Co.		
	AE	JP 2001 332547 A	11/30/2001	Tokyo Shibaura Electric Co.		
	AF	JP 2003-17687 A	01/17/2003	Hitachi Ltd.		
	AG	JP 2003-008004 A	01/10/2003	Fujitsu Ltd.		
	AH	JP 2000-004018 A	01/17/2000	Texas Instruments Inc.		
	AJ	JP 2000-294550 A	10/20/2000	Tokyo Electron Ltd.		ABS
	AK	JP 2003-100170 A	04/04/2003	Seiko Precision Inc.		ABS
	AL	WO 03/003471 A1	01/09/2003	Hitachi, Ltd.		

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.